

**PROMOTING SAFE AND STABLE FAMILIES  
&  
IV-E INCENTIVE FUNDS**

**CY 2005 - 2007 LOCAL PLAN GUIDELINES**

December, 2004

**DIVISION OF CHILDREN AND FAMILY SERVICES  
BUREAU OF PROGRAMS & POLICIES**

# CY 2005-2007 Local Plan Guidelines

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# CY 2005-2007 IV-E Incentive/PSSF Local Plan Guidelines

## I. Introduction

### **Programs Covered by Plan Guidelines**

These plan guidelines are to be used for services or projects funded with Children and Families/Title IV-E Incentive and Promoting Safe and Stable Families (PSSF) funds. The plan guidelines apply to both programs and are designed to encourage coordinated planning at the local level and the use of common outcome measures for both funding sources. The plan guidelines are designed to allow counties to submit either a combined plan for both IV-E and PSSF funds or separate IV-E and PSSF plans.

As the contract recipient agency, the decision whether to submit a combined IV-E/PSSF plan is left to local discretion. In areas where the county human/social service department is not the lead agency for the PSSF program, the PSSF lead agency is expected to work cooperatively with the county department in submitting a combined plan should the county choose to do so.

The plan guidelines are for the multi-year period of calendar years (CY) 2005-2007. The project descriptions and budget tables should be based on planned activities for CY 2005. Multi-year plans submitted by agencies will require annual updates as needed, to reflect changes in allocations or the operation of local program. The format of the plan guidelines is designed to simplify the update process, so that agencies can submit updated project descriptions and budget tables to modify their multi-year plan rather than submitting completely new plans.

These plan guidelines are applicable to IV-E and PSSF program funds provided to county human/social service departments. Tribes that receive PSSF funds submit separate work plans for their PSSF funds, as part of the tribal contract process. For counties participating in the Brighter Futures Initiative (BFI), the use of PSSF program funds is addressed in their BFI plans and these counties need to submit only a IV-E plan using these guidelines. DCFS encourages BFI counties to coordinate their IV-E plan development with their BFI plan. While counties and tribes may use a separate planning process for PSSF funds, they must comply with all the federal program and spending requirements for the PSSF program.

### **Plan Submission**

Plans must be submitted by local agencies by **Monday February 7, 2005**.

The plan guidelines can be found on the DHFS web site [www.dhfs.state.wi.us](http://www.dhfs.state.wi.us) under numbered memo section of the Partners and Providers page of the web site, and consist of two documents: 1) the plan instructions and 2) the plan document. Each document is posted to the web site as an attachment to DCFS Numbered Memo 2004-22. The specific web site reference for DCFS numbered memos is [http://dhfs.wisconsin.gov/dcfs\\_info/num\\_memos/index.htm](http://dhfs.wisconsin.gov/dcfs_info/num_memos/index.htm)

Plan guidelines can be downloaded in MS Word format from the web site and local agencies are encouraged to prepare their plans using the downloadable plan document format. If necessary, agencies can adapt the plan document format to respond to specific provisions and create a plan document that is useful for local purposes. In particular, Project Description pages submitted with the plan can be adapted as long as each Project Description includes all of the specified items.

### **Please submit:**

- Three (3) paper copies of your plan, two to DCFS and one to your OSF Regional office.
- An electronic or soft copy of your plan to DCFS via e-mail or computer disk. The soft copy of the plan should be in MS Word using the format from the DHFS web site. Attachments to plans should be submitted electronically as well.
- Signature pages can be submitted separately if necessary

Send the DCFS paper and soft copies to:  
Bureau of Programs and Policies  
Attn: Kathy Thomas  
1 West Wilson Street, Room 527  
P.O. Box 8916  
Madison, WI 53708  
Email = [thomaka@dhfs.state.wi.us](mailto:thomaka@dhfs.state.wi.us)

Send the Regional Office paper copy to the Area Administrator for your region

### **Plan Review and Approval**

Local agencies must submit complete combined IV-E/PSSF plans or separate IV-E and PSSF plans, along with sufficient information in their plans that is based on the specific provisions in the plan guidelines. Agencies may be required to submit additional information for plan approval, should revision or clarification of portions of their plans be necessary. At a minimum, all services or projects operated by IV-E and PSSF programs must have a complete Project Description and the IV-E and PSSF funds fully accounted for in the Project Budget Table for plans to be approved. If agencies have any concerns regarding submitting a complete plan by the due date, they should contact their Area Administrator or DCFS contact to request an extension.

Upon submission, both DCFS central office and OSF Area Administration staff will review plans. If plans are missing information or additional information is needed, agencies will be contacted with a request to submit the information as soon as possible. After the plan review has been completed, agencies will be issued plan approval letters. Plan approval may be conditional on additional information being submitted.

### **Plan Modifications and Updates**

Agencies may need to modify their plans, if funding or programs vary from the submitted plan, and can be submitted to DCFS at anytime. If new projects are added, existing projects are modified significantly or deleted, or if the funding level for a particular project changes more than 10% during the course of the CY 2005 – 2007 period, agencies should submit updated Project Descriptions and an updated Budgets Table. Agencies should also submit updated Project Descriptions if major changes are made to any of the individual outcomes. DCFS may also direct agencies to submit plan modifications based on annual progress reports or program monitoring activities, if the actual performance for projects is significantly under the expected individual outcomes. Depending on the situation, DCFS or Area Administration staff will meet or talk with county staff to discuss the improvements necessary in order to develop an acceptable plan modification.

Plan modifications should be submitted to both DCFS and Area Administration. The same instructions used for submittal of the multi-year plan should be following when submitting plan modifications.

### **Annual Progress Reports**

Local agencies must submit annual progress reports for their IV-E and PSSF programs that focus on the outcomes achieved by programs based on the goals and outcomes specified by local agencies in their plans. The progress report requirements will be described in a separate DCFS memo. The format for progress reports will parallel the plan format.

Progress reports for CY 2004 program activity will be due by **Thursday March 31, 2005**.

### **Questions or Other Inquiries**

For additional information or assistance in completing the plan guidelines, local agencies may contact the DCFS contact persons listed below or Area Administration staff in their OSF Regional Office.

Kathy Thomas, PSSF Coordinator  
Bureau of Programs and Policies  
Phone: (608) 267-7181  
Fax: (608) 267-2069  
e-mail: thomaka@dhfs.state.wi.us;

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Bureau of Programs & Policies  
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## **II. Allocations and Required Use of Funds**

### **IV-E Incentive Funds**

#### **Program Requirements**

IV-E Incentive funds are generated from state claims for federal reimbursement under Title IV-E for expenses incurred by counties for out-of-home care maintenance payments for IV-E eligible children and the portion of program operating expenses attributable to IV-E eligible children. At the county level, state Community Aids funds and local tax levy funds are used to provide IV-E reimbursable payments and program services. At the state level, once IV-E reimbursement is obtained from the federal government, most of the IV-E reimbursement is used by Department of Health and Family Services along with other state and federal funds to finance Community Aids and other programs providing funding to counties to operate child welfare services.

Per s. 46.45(2)(a), Wis. Stats., of the net amount of IV-E reimbursement received by the state (after state costs to claim the funds) above the base amount budgeted for continuing programs, 50% is distributed to counties (excluding Milwaukee) as IV-E Incentive funds. The spending plan for the remaining 50% of the funds requires legislative approval. DCFS has worked cooperatively with counties to increase federal IV-E reimbursement, which makes additional funds available for distribution through the IV-E Incentive program. A key factor in the amount of IV-E reimbursement is the percentage of IV-E eligible children of the total number of children in out-of-home care, also known as the IV-E penetration rate, which determines the effective rate of IV-E reimbursement for program operating expenses.

#### **Current Funding Situation and Allocations for IV-E Incentive Funds**

For CY 2005-2007, DCFS has \$29.5 million of IV-E Incentive funds available for distribution to counties. Based on the funds available, DCFS will allocate \$9.83 million in each of CY 2005 - 2007. The CY 2005 - 2007 amount represents an increase of \$3.03 million or 45% over the CY 2004 level of \$6.8 million

The allocations to individual counties include a base amount of \$70,000 and a formula amount using two equally-weighted factors, the county's proportion of the population of children in the state and the county's proportion of the population of children in poverty in the state. The formula used for CY 2005 2007 increases the base amount from \$50,000 to \$70,000 to keep the principle that about one-half of the IV-E Incentive funds be distributed through the base allocation. The formula allocations were been computed using updated population, including 2002 state population estimates based on the national census and child poverty data from a 1999 Census Bureau report. The use of updated population figures results in the individual county increases ranging from 35% to 68%. The largest increases are attributable to changes in the number of children in poverty.

The \$29.5 million of IV-E Incentive funds were generated through the IV-E income augmentation process through which 50% of the net IV-E revenue above budgeted commitments is deposited in the county account for the IV-E Incentive program. The funds available for CY 2008 and subsequent years will depend on the amount of IV-E revenue generated in future years.

**Allowable Uses of IV-E Incentive Funds**

Per s. 46.45(2)(a), Wis. Stats., of the IV-E Incentive funds allocated to counties, at least 50% of the allocation must be spent for services to children who are at risk of abuse or neglect to prevent the need for child abuse and neglect intervention services. The remaining funds are to be used for services to assist children and families. Counties may not use IV-E Incentive funds to supplant other funds expended by the county for services to children and families. Counties must maintain their non-supplanting, maintenance of effort amount, as required by DCFS Memo Series 98-02, issued March 25, 1998.

The portion of IV-E Incentive funds available for services to children and families can be used for a variety of purposes. Allowable uses include: services to reunify children in out-of-home care; post-placement support services to adoptive parents and relatives caring for children (including TANF Kinship Care cases); independent living services for older youth aging out of care and young adults who recently exited care; hiring additional child welfare staff; and training for child welfare staff and foster parents.

Administrative costs: The statutory requirements for the use of IV-E Incentive funds do not address administrative costs. Any administrative costs charged to the IV-E Incentive funds must be related to the administration of IV-E Incentive services or projects. Counties may not use IV-E Incentive funds for general overhead costs or to avoid administrative (i.e. AMSO) cost limits for other state funding sources. The general rules applicable to Community Aids regarding what constitutes an administrative cost apply since the IV-E Incentive funds are covered by the state/county contract. Any program administrative costs shown as a separate budget line on the Project Budget Table in the plan must be attributed to the flexible portion of the IV-E funds.

IV-E incentive funds not spent by counties in one calendar year carry forward and can be used in the next calendar year. While this carry forward provision exists to give counties flexibility in using the IV-E Incentive funds, DCFS expects that counties will use their entire IV-E Incentive funds allocation in the year provided and that carryover of funds will be kept to a minimum. Counties with carryover balances must provide an explanation of the reasons for the carryover and develop spending plans that will use the carryover funds. Counties may not maintain carryover balances as contingency funds for placement costs or other purposes.

**Use of IV-E Incentive Funds as Local Match**

Since the IV-E Incentive reimbursement received by the state is reimbursement for previously incurred expenses paid with Community Aids and local tax levy, the IV-E funds are considered earned by the state and can thus be used in a flexible manner. Once distributed to counties, the IV-E Incentive funds are no longer federal funds in character and can be used by counties as non-federal match funds. Counties may use IV-E Incentive funds to earn other federal reimbursement similar to tax levy funds. Counties are encouraged to use their IV-E incentive funds to leverage other resources.

In this respect, the IV-E Incentive funds are different from other IV-E funds that are direct pass-throughs of federal IV-E funds to counties. Examples of IV-E pass-through programs include foster parent training, legal services and eWiSACWIS local operational costs. Once allocated to counties, the IV-E Incentive funds are matchable dollars that when expended can be used to draw additional federal funding. For example, IV-E Incentive funds can be used draw additional federal IV-E reimbursement for the federal IV-E share of eWiSACWIS operational or foster parent training costs.

### **Use of Additional IV-E Incentive Funds for the PEP**

The Program Enhancement Plan (PEP) is the state response to the federal Child and Family Service Review (CFSR) findings that identified areas of non-conformance in many areas of statewide child welfare program services. DCFS worked collaboratively with counties to develop action steps in the PEP that would address the federal CFSR findings and could be implemented within the current child welfare program structure. Achieving the improvement goals specified in the PEP will require statewide improvement in child welfare services and the outcomes achieved for children and families. Making improvements will require additional resources at the local program level. In addition, some of the PEP action steps will have workload or fiscal implications for counties to implement new policies or procedures. The additional IV-E Incentive funds being provided for the 2005-2007 recognize the need for additional resources at the local program level.

In developing the PEP with counties, there was mutual recognition by DCFS and counties that the additional IV-E Incentive funds should be targeted at activities that will improve child welfare program outcomes and address the federal CFSR findings. Not using the additional resources to achieve the goals in the PEP will be the state at risk of federal financial penalties at the end of the two-year PEP period. DCFS worked with counties throughout the PEP development process and subsequent meetings to identify categories of activities that the additional IV-E Incentive funds should be targeted at to assist in achieving statewide improvement goals specified in the PEP. Based on the work with counties, seven categories of activities were identified as directly related to implementation of the PEP.

The additional IV-E Incentive funds must be used for one or more of the following categories of activities.

1. Family centered practice and the engagement of families in child welfare service planning and delivery
2. Safety assessment and safety plan development, both at initial assessment and for ongoing services
3. Implementation of the Ongoing Child Protective Service Standards and Practice Guidelines
4. Concurrent planning and improving the timely achievement of permanency goals
5. Use of coordinated service teams for child welfare cases
6. Foster parent recruitment, training and support for retention
7. Child welfare staff training and professional development

Counties will be given flexibility to determine how specific projects or services fit into the seven categories. Additional information, including examples of activities, is provided later in the plan instructions.

The PEP plan narrative, matrix of action steps and attachments can be found at the following web site:  
<http://dhfs.wisconsin.gov/cwreview/cfsr/PEP.htm>

### **Promoting Safe and Stable Families**

#### **Program Requirements**

The PSSF program is funded entirely with federal funds, primarily by Subpart 2 of Title IV-B. DCFS uses most of the IV-B funds it receives to finance the PSSF program. A portion of the IV-B funds must be used for adoption services and these services are delivered through the state adoption program. DCFS supplements the IV-B funding for the PSSF program using money from some of the federal Drug Free Schools grant.

Federal IV-B requirements specify that of the total PSSF program funding, a minimum amount must be used in each of the following categories – Family Support, Family Preservation, Family Reunification and Adoption. The adoption requirement is met at the state level. The remaining minimum spending requirements are met at the local level. Local agencies receiving PSSF funds must spend of their local funds at least 25% for Family Support, 25% for Family Preservation and 25% for Family Reunification. The remaining 25% of PSSF funds can be used by local agencies in any of the three required categories.

### **Current Funding Situation and Allocations for PSSF**

When the former Family Preservation and Support program was implemented in the mid-1990s, the Wisconsin goal was to fund counties and tribes statewide. County and tribal awards were based largely on what they requested, with child population as a part of the equation. While the intent was to provide a base amount of \$35,000 to all counties, the assumption was the federal funds would continue to increase to sustain the ongoing allocations. However, during the last phases of implementation, funding became more limited and the base amount was set at \$15,000. This resulted in inequities between the amounts received by counties of similar size.

For a number of years, while the IV-B Subpart 2 appropriation has increased at the federal level, Wisconsin had not fared well, due to the allocation formula being based on declining Food Stamp caseloads. The national increases in federal PSSF funding did not result in an increased state allocation materialize and Wisconsin's PSSF grant either remained relatively constant or declined. Fortunately by Federal Fiscal Year (FFY) 2004 this trend reversed and Wisconsin received a significant increase in the federal PSSF grant. The number of children in Wisconsin on food stamps has increased relative to other states due to Food Stamp program outreach efforts. In the future, it is expected that the amount of PSSF funds received by the state will remain relatively stable at the higher level. However, as the amount of the PSSF grant is based on the congressional appropriation, it is always subject to change.

The PSSF grant increase in FFY 2004 has allowed DCFS to add nearly \$500,000 to county PSSF allocations for CY 2005. DCFS spent several months looking at various criteria to apply to an allocation methodology. The goal was to provide more equity, not reduce any county's existing allocation, and provide an overall increase within the \$500,000 amount available. The new allocation formula, using youth population achieves these goals. The population clusters and attendant allocations were derived in large measure by the prior allocations. The largest portion being allocated based on youth population to provide greater equity across the county allocations with a minimum county allocation of \$35,000. In addition, all counties will also receive a 3% increase to their allocation.

### **Allowable Uses of PSSF Funding**

The following is extracted from the federal regulations for the PSSF program:

#### **FINDINGS AND PURPOSE**

Sec.430. (a) FINDINGS-The Congress finds that there is a continuing urgent need to protect children and to strengthen families as demonstrated by the following: Family support programs directed at specific vulnerable populations have had positive effects on parents, children or both. The vulnerable populations for which programs have been shown to be effective include teenage mothers with very young children and families that have children with special needs.

- (1) Family preservation programs have been shown to provide extensive and intensive services to families in crisis.
- (2) The time lines established by the Adoption and Safe Families Act of 1997 have made the prompt availability of services to address family problems (and, in particular the prompt availability of appropriate services and treatment addressing substance abuse) an important factor in successful family reunification.
- (3) The rapid increases in the annual number of adoptions since the enactment of the Adoption and Safe Families Act of 1997 have created a growing need for postadoption services and for service providers with the particular knowledge and skills required to address the unique issues adoptive families and children may face.

(b) PURPOSE-The purpose of this program is to enable States to develop and establish, or expand, and to operate coordinated programs of community-based family support services, family preservation services, time-limited reunification services, and adoption promotion and support services to accomplish the following objectives:

- (1) To prevent child maltreatment among families at risk through the provision of supportive family services.

- (2) To assure children's safety within the home and preserve intact families in which children have been maltreated, when the family's problems can be addressed effectively.
- (3) To address the problems of families whose children have been placed in foster care so that reunification may occur in a safe and stable manner in accordance with the Adoption and Safe Families Act of 1997.
- (4) To support adoptive families by providing support services as necessary so that they can make a lifetime commitment to their children.

#### FEDERAL DEFINITIONS

**FAMILY PRESERVATION SERVICES-**The term "family preservation services" means services for children and families designed to help families (including adoptive and extended families) at risk or in crisis, including:

- (A) Service programs designed to help children:
  - (i) where safe and appropriate, return to families from which they have been removed; or
  - (ii) be placed for adoption, with a legal guardian, or, if adoption or legal guardianship is determined not to be safe and appropriate for a child, in some other planned, permanent living arrangement;
- (B) Pre-placement preventive services programs such as intensive family preservation programs, designed to help children at risk of foster care placement remain safely with their children.
- (C) Service programs designed to provide follow-up care to families to whom a child has been returned after a foster care placement;
- (D) Respite care of children to provide temporary relief for parents and other caregivers (including foster parents);
- (E) Services designed to improve parenting skills (by reinforcing parents' confidence in their strengths, and helping them to identify where improvement is needed and obtain assistance in improving those skills) with respect to matters such as child development, family budgeting, coping with stress, health and nutrition and
- (F) Infant safe haven programs to provide a way for a parent to safely relinquish a newborn infant at a safe haven designated pursuant to a State law.

(2) **FAMILY SUPPORT SERVICES -**The term "family support services" means community-based services to promote the safety and well-being of children and families designed to increase the strength and stability of families (including adoptive, foster and extended families) to increase parents' confidence and competence in their parenting abilities to afford child a safe, stable and supportive family environment, to strengthen parental relationships, and promote healthy marriages and otherwise enhance child development.

#### (3) **TIME-LIMITED FAMILY REUNIFICATION SERVICES-**

- (A) **IN GENERAL-**The term "time-limited reunification services" means the services and activities described in subparagraph (B) that are provided to a child that is removed from the child's home and placed in a foster family home or a child care institution and to the parents or primary caregiver of such a child, in order to facilitate the reunification of the child safely and appropriately within a timely fashion, but only during the 15-month period that begins on the date that the child pursuant to section 475(5)(f) is considered to have entered foster care.
- (B) **SERVICES AND ACTIVITIES DESCRIBED.-**The services and activities described in this subparagraph are the following:
  - (i) Individual, group, and family counseling.
  - (ii) Inpatient, residential, or outpatient substance abuse treatment services.
  - (iii) Mental health services.
  - (iv) Assistance to address domestic violence.
  - (v) Services designed to provide temporary child care and therapeutic services for families, including crisis nurseries.
  - (vi) Transportation to or from any of the services and activities described in this subparagraph.

### III. Information for Completing the Plan

#### A Definitions and Descriptions

##### 1. Target Populations

Identifying the target population for IV-E and PSSF services is critical to effective service delivery and measuring the results or outcomes of the service. The target population is also critical to determining compliance with IV-E and PSSF program policy and fiscal requirements, as the state and federal requirements to target funds to certain types of activities is based primarily on the characteristics of the population served rather than the specific type of service.

Many services can be categorized in any of the Family Support, Family Preservation, Family Reunification or other service categories depending on who is served and the context in which the service is provided. The characteristics of the population being served, and their circumstances at the time they are being served, provide the context for placing a particular service or project in the appropriate service category.

For example, a particular service can be categorized as a Family Reunification service not because of the nature of the service itself, but due to the fact that the service is provided as part of an overall service strategy to reunify children with their families. Counseling to prepare the family for reunification of the child with the family can be categorized as a reunification service in that situation. The same family counseling service provided to other families in different circumstances could be considered a Family Preservation service.

In these plan guidelines, agencies are asked to identify the specific target populations being served under their IV-E and PSSF programs to show compliance with the policy and fiscal requirements for the programs. While it is not necessary to track expenditures on specific individuals being served under each service or project to show compliance, services or projects may need to be focused on specific populations in order for local agencies to comply with program policy and fiscal requirements.

The following table indicates the target populations to be used with the Project Descriptions and Budget table in the plan guidelines. Each service/project listed in the table must identify a corresponding target population. The summary budget information at the bottom of the table should show how the local agency is meeting program expenditure requirements based on the target populations for the identified services/projects. The target population should also be used to develop appropriate outcomes and outcome measures for the services/projects.

**Target Populations Table**

Abbreviation	Description of target population
PR	Prevention - Broad prevention activities for the general public designed to promote positive behaviors and prevent the need for family intervention services.
AR	At Risk - Children and families who are vulnerable, at risk of child abuse or neglect, or likely to engage in behaviors with negative consequences.
AN	Abused/Neglected - Children and other members of families in which child abuse or neglect has occurred. This group includes biological families with whom children have been reunified.
OH	Out-of-Home Care - Children in out-of-home care and the families from which they were removed. This includes services to children and families while the children are in foster care placements.

IL	Independent Living - Youth who will be exiting and young adults who have exited the Out-of-Home Care system through emancipation.
OY	Other Youth - Other youth in need of prevention or early intervention services. This group includes youth that returned to the community after exit from secured detention or juvenile corrections.
RA	Relatives and Adoptive Families - Adoptive families and relatives caring for children who have been placed with them under formal or informal arrangements.

## 2. Service Categories

Plan guidelines specify several categories of service under which individual IV-E and PSSF projects or services should be listed. This service category approach is designed to allow DCFS to develop statewide summaries of how funds are being used based on the local plans as many counties fund multiple projects with the IV-E and PSSF funds. The service category approach makes it easier to determine compliance with program fiscal requirements, while also facilitates the identification of appropriate outcomes and success measures.

The following is a description of the service categories to be used in your agency's plan. Each service category is designed to be broad for plan purposes and is not intended to be all-inclusive. IV-E and PSSF programs may fund services or projects that do not neatly fit into any of these categories or are multi-purpose in nature and thus cut across multiple categories. Services or projects should be listed in the category that makes the most sense.

**Service Category Table**

Service Category	Description	Target Group(s)
Family Support (Eligible for IV-E or PSSF funding)	Family Support services are voluntary, preventive activities to alleviate stress and help families care for their children's well being. Services increase the strength and stability of families by improving parenting abilities and enhancing child development. Examples of Family Support services include family resource centers, drop-in centers, family support groups, parenting skills, screening children to assess service needs, referral to community services, and assisting families to access services.	PR, AR, OY
Family Preservation (Eligible for IV-E or PSSF funding)	Family Preservation services means services for children and families designed to help families who are (including adoptive and extended families) at risk or are currently in crisis. Examples of Family Preservation services include safety services; respite care; substance abuse and mental health treatment; in-home supervision/observation, family counseling, life skills training; and food or clothing assistance.	AN, RA
Family Reunification (Eligible for IV-E or PSSF funding)	Family Reunification services are activities that prepare children in out-of-home care and parents for the safe return of children to their homes. For the purpose of the PSSF program, reunification services are time-limited and should be provided within the 15-month period (beginning when children enter out-of-home care). There is no time period for reunification services under the IV-E program. Examples of Family Reunification services include individual and family counseling; substance abuse and mental health treatment; activities to address domestic violence; and specialized or therapeutic child care.	OH

Post-Placement Services (Eligible for IV-E funding)	Post-Placement services are activities to help adoptive parents and relatives care for children who have been placed with them under formal or informal arrangements. This includes relatives caring for children received Kinship Care or SSI disability payments. Examples of Post-Placement services include respite care; crisis intervention activities; parenting skills, individual and family counseling; follow-up in-home visits; and specialized or therapeutic child care.	RA
Youth Development (Eligible for IV-E funding)	Youth Development services are activities that promote positive behavior and discourage negative behavior among youth and young adults. Services help persons develop positive self images, deal with peer pressure, make sound decisions, and become productive adult members of society. Examples of Youth Development services include improving school attendance and academic achievement; work experience and vocational preparation; and prevention of teen pregnancy, substance abuse and juvenile delinquency.	IL, OY
Independent Living (Eligible for IV-E funding)	Independent Living services are activities to prepare older youth in out-of-home care for living independently and assisting young adults formerly in care to live independently. Services help persons to care for themselves and be self-sufficient. Examples of Independent Living services include assisting persons to receive education, training and household management and budgeting skills; peer and adult mentors; crisis intervention activities; and transitional housing. Employment services;	IL
Other Services (Eligible for IV-E funding)	Other Services to children and families include activities that do not fit in the above categories.	Variable depending on type of service
Local Staff/Training (Eligible for IV-E funding)	IV-E funds may be used to support the salaries and other costs of child welfare staff and cover the costs of providing training for child welfare staff. Staff costs can be counted toward meeting the 50% requirement if staff work with the AR and AN target populations.	Variable depending on type of service
EWiSACWIS (Eligible for IV-E funding)	IV-E funds may be held in reserve and carried forward to pay for local costs of implementing the eWiSACWIS system.	N. A.
Program Administration	General administrative costs for the IV-E and PSSF programs must be limited to 10 % or less of the program allocation.	N. A.

IV-E funds can be used for projects in any service category, as long as at least 50% of the funds are used for Family Support and Family Preservation services to the At Risk and AN target populations. Post-Placement services to the RA population can also count toward the 50% IV-E requirement if the intent is to prevent the need for further child abuse and neglect intervention services for those children. Agencies who are counting IV-E services to the RA population toward the 50% requirement should footnote this in their plan.

PSSF funds can be used only for Family Support (PR and AR populations), Family Preservation (AN population) and Family Reunification (OH population) services. The RA or OY populations can be served with PSSF funds in the Family Support or Family Preservation categories, but all PSSF-funded projects should be listed in one of the three PSSF required service categories.

## PEP Categories for IV-E Incentive Funds

Counties are to use the additional IV-E Incentive funds received for CYs 2005 – 2007 for projects that will support local achievement of goals specified in the PEP. DCFS will provide data from the eWiSACWIS system and quality assurance reviews to allow counties to measure local progress on statewide goals. The additional IV-E Incentive funds can be used to establish new projects or expand existing projects.

In the Project Summary Table list one or more of the following PEP categories for projects that are funded with additional IV-E Incentive dollars. The examples are listed as possible activities for counties and counties can identify other activities under any of the categories.

1. Family centered practice and the engagement of families in child welfare service planning and delivery. Examples include relative search and engagement, support to families to involve in case planning, use of relatives as placement resources, and enhancing visitation of children in out-of-home with parents and siblings.
2. Safety assessment and safety plan development, both at initial assessment and for ongoing services. Examples include development and implementation of safety plans, training and technical assistance on safety assessment and planning, compliance with CPS Investigation Standards, and supervisory review and support of safety assessments and plans.
3. Implementation of the Ongoing Child Protective Service Standards and Practice Guidelines. Examples include development and implementation of service plans, training and technical assistance on the Ongoing Service Standards, development of local policies to implement the standards, technical assistance to in-home service providers to implement the standards, and supervisory review and support of services plans.
4. Concurrent planning and improving the timely achievement of permanency goals. Examples include use of permanency specialists, training and technical assistance on concurrent permanency planning, development of local policies to implement concurrent planning, enhancing administrative review process and panel member training, improving legal services related to termination of parental rights (TPR), and implementing mediation processes to reduce contested TPRs.
5. Use of coordinated service teams for child welfare cases. Examples include training and technical assistance to implement or expand the use of coordinated services teams, consultation to establish teams, developing community support for use of the team model, and cross-training for county and other agency staff involved in teams.
6. Foster parent recruitment, training and support for retention. Examples include enhancing recruitment activities, services and support to foster parents for retention, respite care, pre-service and ongoing foster parent training, improving provider capacity to handle certain types of children, implementing emergency response plans to avoid disruptions of placements, and working with tribes to develop tribal placement resources.
7. Child welfare staff training and professional development. Examples include sending staff to UW Training Partnership training and other specialized training, developing internal staff orientation and mentor programs, enhancing agency capacity to participate in distance learning, supervisory support for transfer of learning, providing support to staff to obtain academic degrees or certifications, and costs for temporary staff to provide back-up while staff are in training.

## Required Plan Documents

Please include all of the documents listed below in your plan submittal. They are attached to these guidelines and they are available in a downloadable format on the DHFS web site as an attachment to DCFS numbered memo 2004-22.

1. Cover Sheet
2. Program Assurances
3. Narrative Questions
4. Local Planning Committee
5. Project Descriptions
6. Project Summary Table
7. Project Budget Table
8. Budget Summary Table
9. Signature

## C Instructions for Completing the Plan Documents

### 1. Plan Cover Sheet

The plan cover sheet indicates what plan option the county is using for their CY 2005-2007 Plan, either a combined IV-E/PSSF plan or separate IV-E and PSSF plans. The cover sheet also indicates what agency (if other than the county human/social services department) is responsible for submitting the plan. For PSSF programs where the county is not the lead agency for the program, the PSSF lead agency should be listed.

The contact persons should be the specific individuals that DCFS should follow up with if there are any questions about program management, program fiscal matters, or the content of the plan itself. A single person can be listed as the contact person for all three purposes.

### 2. Program Assurances

The program assurances specify both statutory and other basic requirements for the IV-E and PSSF programs. Agencies can add comments if they wish to explain their compliance with these program requirements, as necessary.

### 3. Program Narrative

The program questions will require narrative answers on specific aspects of IV-E and PSSF program operation, to allow DCFS to better understand how programs have been implemented locally. The expectation is that responses will be brief, clear and concise.

### 4. Local PSSF Advisory Committee

Please provide information about the composition of your local PSSF Committee

### 5. Project Descriptions

A project/service description must be completed for each project or service funded with PSSF/IV-E monies. Descriptions should include information on both comprehensive programs and measurable outcomes. Projects funded under IV-E and PSSF programs should have specific goals identifying what is to be accomplished. For example, ensuring a safe home environment for children and developing the capacity of parents to nurture their children are among the possible goals for IV-E or PSSF program projects. To determine the effectiveness of projects in achieving the desired goals, projects should include measures of success that allow the determination of project results. Establishing

meaningful outcomes using appropriate measures of success is essential to good program management and the improvement of the quality of program services.

Outcomes identified for each project should allow for measurement, if the project is to achieve its intended purpose and outcomes must be relevant to the purpose of the project. For example, if the project is intended to ensure child i.e., safety, then the project should have an outcome related to child safety (subsequent reports of abuse). Outcome indicators should be a clearly defined benefit or change for the children and families being served that will show progress toward achieving the purpose of the project. The number of persons served and the types of services provided are indicators of the volume of service activity and can be easily measured; but they are not outcome indicators. Outcomes focus on the intended results of the project, regardless of the volume of services provided. Outcomes should be both measurable and clearly defined.

There are two types of outcome indicators that should be used in IV-E/PSSF plans:

Individual outcomes relate to the specific results for the children/individuals served by the program. Individual outcomes are typically tied to what happens for those individuals/families either during the service episode or a period of time after the service episode. For example, the objective of reducing abuse and neglect could translate into an individual outcome indicator of fewer or no subsequent abuse and neglect reports for the specific families served by the project. Individual outcomes usually require success measures based on information about the individual/families served.

Community outcomes relate to the impact of services for the broad community or a specific geographic area. Community outcomes typically look at the broader impact on the community over time of serving selected individuals/families. For example, the objective of reducing abuse and neglect could translate into a community outcome indicator of fewer abuse and neglect reports for the entire county served by the project. Community outcomes require success measures based on information about the community as a whole and generally the analysis focuses on the trend over time.

Community (county) outcomes should also be tied to federal outcomes. The data will be available using eWiSACWIS and an annual report will be provided to PSSF/IV-E programs. While no one program is responsible for the success of improving community outcomes, each should be part of an overall strategy which will lead to the improved outcomes in the safety, permanency and well-being of children in, or at risk of entering the child protective services system.

6. Project Summary Table

Use the information contained on the individual project descriptions to complete this table. This table is designed to have a consolidated source of program information that we can use to complete various reports.

7. Project Budget Table

The Project Budget Table should include a listing for every project that counties use IV-E or PSSF funds to finance. The table is designed to list projects by service category to help determine compliance with IV-E and PSSF expenditure requirements. Compliance is determined in the subsequent Budget Summary Tables.

The funding amount should reflect the project budget or anticipated expenditures for the project in CY 2005. The fund source should be listed as IV-E or PSSF. If projects are funded with both IV-E and PSSF, the amount for each fund source should be listed. If projects have other funding sources, local agencies should list the amount and source of the other. For projects with numerous other funding sources, only list the one or two largest other funding sources to help put the IV-E or PSSF amount into perspective. Show the total funding for the project. Indicate whether the project is new (N) or continued (C) from prior years.

The funding amounts listed should correspond with the Project Description. If the Project Description covers only the discrete part of a project that is financed with IV-E or PSSF funds, then the listing in Project Budget Table should correspond with the funding for that discrete part.

IV-E funds can be used for projects in any service category, but at least 50% of the funds must be used for services to prevent abuse and neglect. The 50% prevention requirement should be met by funding Family Support and Family Preservation services to the At-Risk (AR) and Abused or Neglected (AN) target populations. Post-Placement services to the relative and Adoptive Parent (RA) population can also count toward the 50% prevention requirement if the intent is to prevent the need for further child abuse and neglect intervention services for those children. Agencies who are counting IV-E services to the RA population toward the 50% prevention requirement should footnote this in their plan. The flexible portion of the IV-E funds can be used for services to any of the target populations.

PSSF funds must be used for Family Support, Preservation and Reunification services with the General Public (PR) and At-Risk (AR) populations. The Family Preservation portion should be spent on services to the Abused or Neglected (AN) population. The Family Reunification portion should be spent on services to Out-of-Home Care (OH) population. The Relative and Adoptive Parent (RA) or Other Youth (OY) populations can also be served with PSSF funds in the Family Support or Family Preservation categories, but all PSSF-funded projects should be listed in one of the three PSSF required service categories.

8. Budget Summary Tables

The Budget Summary Tables are designed to demonstrate compliance with the minimum expenditure requirements for the IV-E and PSSF programs. Based on the information entered in the Project Descriptions and the Budgets Table, agencies should complete the computations.

The IV-E worksheet asks agencies to identify projected carryover from CY 2004. Unspent funds from CY 2004 will be rolled over and added to CY 2005 following closeout of the CY 2004 contracts. Counties may use their own methods to estimate carryover and the worksheet can be updated if necessary in CY 2005 once the actual CY 2004 carryover is known. IV-E funds subject to the 50% prevention requirement remain subject to the prevention requirement when carried over.

9. Signature Page

The plan (including the assurances), requires the signature of the contract recipient agency (the county human/social services department) and the lead agency for the program (either the county department or subcontract agency that actually operates the program). The county department, as the contract recipient for both IV-E and SSF funds, must sign as the contract recipient agency for all IV-E and SSF plans regardless of whether the county department is the lead agency for the program. The lead agency signature should correspond with the agency identified as submitting the plan. It is left to local discretion which agency should sign as the lead agency. Additional signatures can be added at local discretion if there are multiple agencies involved in submitting the plan.

If possible, signature pages should be submitted with the rest of the plan. If it is not possible to obtain the necessary signatures by the plan due date, the signatures should be submitted as soon as possible following the plan submission. If multiple agencies need to sign the plan and it is not possible for all agencies to sign the same signature page, separate signature pages can be submitted.

## 2005-2007 PSSF/IV-E Plan

### Plan Cover Sheet and Contact Persons

Identify the county or tribal area served by the program, the local agency submitting the plan and which programs are covered by the plan. Indicate the appropriate local contact persons.

**County Served by Program:** \_\_\_\_\_

**Agency Submitting Plan:** \_\_\_\_\_

**Programs included in plan:**

**Promoting Safe and Stable Families**

**Title IV-E Incentive Funds**

**Note: Check both boxes if submitting a combined plan.**

**If combined plan, list other agencies involved (if applicable):**

\_\_\_\_\_  
\_\_\_\_\_

**Program Contact** \_\_\_\_\_

Address:

City/Zip:

Phone:

Email:

FAX

**Fiscal Contact:** \_\_\_\_\_

Agency

Address:

City/Zip:

Phone:

Email:

FAX

## 2005-2007 PSSF/IV-E Plan

### Program Assurances

- **IV-E.** 50% of the IV-E Incentive funds will be spent on services to children who are at risk of abuse or neglect to prevent the need for child abuse and neglect intervention services.
- **IV-E.** The county will maintain its non-supplanting, maintenance of effort expenditure level, as required by DCFS Memo 98-02.
- **IV-E.** The additional funds for CY 2005-2007 will be used for projects in one of the seven categories related to the PEP.
- **PSSF.** A minimum of 25% of the PSSF funds will be spent in each of the following categories of services - Family Support, Family Preservation and Family Reunification.
- **PSSF.** The county has a local planning committee with membership representing a variety of community perspectives. This committee can do planning or coordination for other programs or services as well as the PSSF program.
- **Both Programs.** The contract recipient agency has processes in place with subcontract agencies to ensure compliance with the IV-E and PSSF minimum expenditure requirements.

## **2005-2007 PSSF/IV-E Plan**

### **Narrative Questions**

1. Briefly discuss your county strategy for the PSSF/IV-E Plan. Include in your response how you will determine what programs/projects receive funding, what overarching goals does the county hope to achieve with the PSSF/IV-E funding, how you will determine if you are successful, and what you will do if subcontractors fail to achieve stated objectives/outcomes.
  
2. Describe the local referral process used to enable children and families currently receiving child protective and/or out-of-home care services from the county child welfare agency to receive services from the IV-E or SSF service provider agencies. Please focus on broad mechanisms for referrals and service coordination so that the IV-E and PSSF services available to children and families can meet needs identified in their child welfare service plans.
  
3. Describe the procedures used by the county to monitor the quality of IV-E and SSF program services provided by subcontracted service providers. Describe if subcontracted service providers submit progress reports, program evaluations, customer surveys or other information to allow the county to assess the effectiveness of program services. Explain how the county works with subcontracted service providers to improve the quality of services.

## 2005-2007 PSSF/IV-E Plan

### PSSF Program Local Planning Committee

Complete the following table or submit comparable information listing the current members of the PSSF local planning committee. Please indicate which person(s) serve as the chair or co-chairs of the committee.

Committee Name:

Frequency of Meetings:

Describe if the committee performs planning or coordination functions for other programs:

List the current members of the committee, including their agency and the program area or perspective (i.e. child welfare agency, education, health care, foster parent, etc.)

Name and Title	Agency	Program Area/Perspective

Expand the table as necessary to add more members.

## 2005-2007 PSSF/IV-E Plan

### Project/Service Description

1. Name of project/service\_\_\_\_\_
2. Name of Agency providing program/service\_\_\_\_\_
3. Project Description: *(Please provide a description that includes: services to be provided, number to be served and length of service (where appropriate))*
4. Target Population
5. Program Goal *(What is the program trying to change or improve?)*
6. Identify at least one measurable individual outcome and include target number.  
(Use page 13 for definition of individual outcome)
7. Budget/Fiscal *(Identify service category ,source, and amount of funding)*
8. PEP Related *(Identify PEP category, for additional IV-E Incentive funds only)*

## 2005-2007 PSSF/IV-E Plan

### Project Summary Table

Service Category / Project Name	Project Title	Target Population	Service Category and Number to be served	Funding Amount for CY 2005	Fund Source	PEP Related and PEP Category (*)
<b>Family Support</b>						
<b>Fam Preservation</b>						
<b>Fam Reunification</b>						
<b>Post-Placement</b>						
<b>Youth Develop</b>						
<b>Independ Living</b>						

<b>Other Services</b>						
<b>Staff/Training</b>						
<b>EWISACWIS</b>						
<b>Program Admin</b>						

(\*) PEP related column applies to additional IV-E Incentive funds for CY 2005 – 2007 only

Note: Expand the table as necessary to list all IV-E and SSF projects.

## 2005-2007 PSSF/IV-E Plan

### IV-E/PSSF Project Budget Table

Service Category / Project Name	IV-E Funding Amount	SSF Funding Amount	Other Funding Amounts (List the Source)	Total Project Funding	New (N) or Continued (C) Project
<b>Family Support</b>					
<b>Family Preservation</b>					
<b>Family Reunification</b>					
<b>Post-Placement Services</b>					
<b>Youth Development</b>					
<b>Independent Living</b>					
<b>Other Services</b>					
<b>Staff/Training</b>					
<b>EWISACWIS</b>					
<b>Program Administration</b>					

Note: Expand the table as necessary to list all SSF and IV-E projects,

## 2005-2007 PSSF/IV-E Plan

### IV-E/PSSF Budget Summary Tables

#### IV-E Incentive Prevention Requirement

IV-E Incentive Funds	Total Amount	Abuse/Neglect	Flexible Funds
1. CY 2005 Allocation			
2. Estimated Carryover Funds from 2004			
3. Total IV-E Funds Available in CY 2005			
4. Abuse/Neglect Services Per Project Budget Table			

The amount on line 4 for services to prevent abuse and neglect must be equal to or greater than the total amount of IV-E funds available in 2005 that must be used for abuse/neglect services.

#### IV-E Incentive PEP Requirement

IV-E Incentive Funds	Amount
CY 2005 Allocation	
CY 2004 Allocation	
Increase for CY 2005	
Amount Used for PEP	

#### PSSF Federal Requirement

PSSF Program Funds	Minimum Amount	Planned Amount Per Budget Table	% of Total Funds
Family Support			
Family Preservation			
Reunification			
Total Program			

Local agencies must use a minimum of 25% of their SSF funds in each of the three categories.

Footnotes on Budget Summary Tables:

- 1.
- 2.

## 2005-2007 PSSF/IV-E Plan

### VII. Signature Page

Contract Recipient Agency:

Name \_\_\_\_\_ Date \_\_\_\_\_  
*Signature*

Name/Title \_\_\_\_\_

Agency \_\_\_\_\_ County \_\_\_\_\_

Lead Agency for Program:

Name \_\_\_\_\_ Date \_\_\_\_\_  
*Signature*

Name/Title \_\_\_\_\_

Agency \_\_\_\_\_ County \_\_\_\_\_

=====

Other Signatures for Combined Plans:

Name \_\_\_\_\_ Date \_\_\_\_\_  
*Signature*

Name/Title \_\_\_\_\_

Agency \_\_\_\_\_ County \_\_\_\_\_

\*\*\*\* Add More Signature Lines If Needed \*\*\*\*